

Application Calendar

OMB No. 3135-0112
Expires 11/30/2000

Goal	Application Postmark Deadline	Earliest Announcement of Grant Award or Rejection	Earliest Project Beginning Date
Creativity	March 27, 2000	November 2000	January 1, 2001
Organizational Capacity	March 27, 2000	November 2000	January 1, 2001
Access	August 14, 2000	March 2001	June 1, 2001
Education	August 14, 2000	March 2001	June 1, 2001
Heritage/Preservation	August 14, 2000	March 2001	June 1, 2001

Late applications and applications that are determined to be incomplete will be rejected. We strongly recommend that you send material "return receipt requested." **Without proof of mailing from the delivery service, the Arts Endowment will not accept applications that are delayed or lost in the mail.**

The Arts Endowment will not accept any application material by electronic transmission (e.g., FAX or e-mail) unless requested by Arts Endowment staff.

Please do not seek information on the status of your application before the announcement date that is listed above.

If you have questions:

Write: National Endowment for the Arts
Nancy Hanks Center
1100 Pennsylvania Avenue, NW
Washington, DC 20506-0001
Attn: Field/Discipline Name (see page 14)

Visit: World Wide Web site at <http://arts.endow.gov>

Call: The staff for the field/discipline which is most appropriate for your project. See page 9 or call 202/682-5400.



202/682-5496 Voice/T.T. (Text-Telephone, a device for individuals who are deaf or hard-of-hearing)



Individuals who do not use conventional print may access these guidelines on the Web site or contact the Arts Endowment's Office for Accessibility at 202/682-5532 for help in acquiring an audio recording of these guidelines.

MISSION

The National Endowment for the Arts, an investment in America's living cultural heritage, serves the public good by nurturing the expression of human creativity, supporting the cultivation of community spirit, and fostering the recognition and appreciation of the **excellence** and **diversity** of our nation's artistic accomplishments.

GOALS

To fulfill its mission, the Arts Endowment has established the following programmatic goals:

- To broaden public access to the excellence and diversity of the arts.
- To foster opportunities for the creation and presentation of artistically excellent work.
- To strengthen the role of the arts in our nation's educational system and encourage lifelong learning in the arts.
- To preserve our nation's cultural heritage for the 21st century.
- To strengthen the organizational and financial capabilities of America's arts organizations.
- To help address the concerns of America's communities through the arts.
- To strengthen the Endowment's partnerships with the public and private sectors.

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Grants to Organizations

The National Endowment for the Arts recognizes, encourages, and supports the excellence and diversity of our nation's artistic creativity and accomplishments. These guidelines renew the agency's commitment to the core artistic and public service projects of organizations that are involved in the arts. Assistance is available to nonprofit organizations of all types and sizes, and for projects in all arts disciplines.

These guidelines represent a simplification of the Grants to Organizations guidelines of the past four years. They strategically align funding opportunities with the Arts Endowment's goals. Five goals are covered; each corresponds directly to one of the categories that appeared in previous Grants to Organizations guidelines (Creation & Presentation, Planning & Stabilization, Access, Education, and Heritage & Preservation).

Applicants will be asked to indicate on the application form the agency goal that best matches the goal and purpose of their project. The goals covered by these guidelines are:

- **Creativity** (formerly Creation & Presentation): **Creation and presentation of artistic work.**
- **Organizational Capacity** (formerly Planning & Stabilization): **Developing strong and valued arts organizations.**
- **Access:** **Access to the arts for all.**
- **Education:** **Lifelong education in the arts.**
- **Heritage/Preservation:** **Preservation of our cultural heritage.**

Implicit in all of the Arts Endowment's goals is its commitment to artistic excellence.

Significant arts programs that are intended for national broadcast on television or radio now are covered under the FY 2001 Arts on Radio and Television guidelines. Projects that involve media broadcast on a more limited scale should be submitted under these guidelines. For further information, see page 11.

GUIDING PRINCIPLES

Organizations should be aware of the following:

- The Endowment urges organizations that apply under these guidelines to assist and involve artists, and to reflect that involvement in their applications.
- The Arts Endowment is committed to supporting equitable opportunity for all and investing in as diverse a reflection of our society as possible, including works of all cultures and periods.
- The Endowment is interested in projects, regardless of the size or type of applicant organization, that are of national, regional, or field-wide impact or availability; that tour in several states; or that provide an unusual or especially valuable contribution because of geographic location. This includes local projects that can have a significant effect within their community or that are likely to serve as models for a field.
- The Arts Endowment recognizes that significance and impact can be measured by excellence or creativity; not solely by budget size, institutional stature, or the numbers of people or areas that are reached.
- The Arts Endowment urges applicants to make accommodations for individuals with disabilities an integral part of their projects.

ELIGIBILITY

Nonprofit, tax-exempt, U.S. organizations may apply. Applicants may be arts organizations, local arts agencies, arts service organizations, federally recognized tribal communities and tribes, official units of state or local government (including school districts), and other organizations that can help advance the goals of the Arts Endowment.

To be eligible, the **applicant organization must:**

- Meet the "Legal Requirements" on page 47.
- Have a three-year history of programming prior to the application deadline, except for applicants for folk & traditional arts projects.
- Have professional staff, paid or volunteer, who can devote the time and effort that are required to accomplish the project.
- If a **former grantee**, have submitted acceptable Final Report packages on any completed Arts Endowment grant(s) by the Final Report due date(s).

An eligible organization may submit only one application under these guidelines; exceptions are made only for those cases that are outlined under "Application Limits" below.

The designated 50 state and 6 jurisdictional arts agencies (SAAs) and their regional arts organizations (RAOs) may serve as fiscal agents or as consortium members and participants, including consortium lead applicants. However, all grant funds must be passed on to the sponsored organization or to other consortium members. Each SAA or RAO may serve as the lead applicant for only one consortium project. A SAA or RAO may not serve as the lead applicant or as a consortium member in a consortium of only two members, except for applicants for folk & traditional arts projects. There is no limit on the number of applications for which a SAA or RAO may serve as a fiscal agent. SAAs and RAOs are eligible to apply on their own behalf through the Partnership Agreements guidelines.

Application Limits

An organization may submit only one application under these FY 2001 guidelines, with the following exceptions:

- **Parent organizations** that have separately identifiable and independent components (e.g., an art museum that is located on a university campus) may submit a separate application for each such component as well as one application on its own behalf. The parent organization must meet the eligibility requirements for all applicants on page 4.

An independent component must be a unit that is both programmatically and administratively distinct from the parent organization; have its own staff and budget; and generally have an independent board or other advisory group that has significant responsibility for oversight and management. Academic departments of colleges and universities will not qualify as independent components.

- **Fiscal agents** that are willing to assume full responsibility for the grant may sponsor one or more organizations that do not have their own nonprofit status but that otherwise meet the criteria for eligibility (see "Eligibility" on page 4). A fiscal agent may submit a separate application for each such group as well as one application on its own behalf. The fiscal agent must meet the eligibility requirements for all applicants on page 4. Fiscal agents may not apply on behalf of individuals or commercial, for-profit organizations.

In addition, fiscal agents must have on file, and be able to provide if requested, a written contractual agreement between the fiscal agent and the sponsored organization that outlines the fiscal agent's administrative, programmatic, financial, and legal responsibility for the sponsored project. A sample contract is available from the Arts Endowment's World Wide Web site at <http://arts.endow.gov> or from the Office of General Counsel at ogc@arts.endow.gov or 202/682-5418.

Beginning with grants that were awarded in FY 1999 (as indicated by a grant letter that is dated on or after October 1, 1998 and a grant number that begins with "99-"), any one sponsored organization may receive no more than three Arts Endowment grants through a fiscal agent.

- **Consortium applications.**

A consortium is a partnership of two or more organizations that undertake a shared project which requires combined resources of capital and/or human talent. The members jointly conceive, execute, and expend resources on the project.

In addition to submitting an application on its own behalf, an eligible organization may serve either as the lead applicant or as a consortium member in one consortium application. If an organization chooses not to submit an application on its own behalf, it may serve either as the lead applicant or as a consortium member in two consortium applications.

A majority of consortium members (i.e., more than half, including the lead organization) must meet the eligibility requirements for all applicants. In a consortium of two, both must comply with all of the eligibility criteria. No consortium may include more than 10 members, including the lead applicant. A parent organization and its component(s) may not apply as a consortium. Consortium members may not be individuals or for-profit entities.

The lead applicant must meet all of the eligibility requirements; submit the application; accept administrative, programmatic, financial, and legal responsibility for the grant, including all reporting and monitoring activities; act as the payee for the receipt of federal funds; and, as applicable, distribute the federal funds to the consortium members.

WE FUND

Under these guidelines, funding is available for:

Specific projects only.

- A project may consist of one or more **specific** events or activities; it may be a part of an applicant's regular season or activities. Organizations that undertake a single short-term project in a year—a jazz festival, for example—could apply for that event, or they could identify certain components (such as the opening and closing concerts) as their project. The important point is to be specific about the activities for which Endowment support is requested, and to provide specific information on the artists, productions, venues, distribution plans, etc., that will be involved.
- Organizations may apply for any or all phases of a project, from its planning through its implementation.
- A project does not have to be new. Excellent existing projects will be considered to be just as competitive as new activities.
- Projects do not need to be large in scope; the Endowment welcomes small projects that can make a difference in their community or field.

WE DO NOT FUND

Under these guidelines, funding is **not** available for:

- General operating or seasonal support.
- Direct grants to individuals. (The Arts Endowment encourages applicant organizations to assist and involve individual artists in all possible ways.)
- Subgranting or regranting, except for state arts agencies, their regional arts organizations, and local arts agencies that are designated to operate on behalf of their local governments or are operating units of city or county government.
- Individual elementary or secondary schools directly.
- Avocational or student groups.
- Construction, purchase, or renovation of facilities.
- Costs for the creation of new organizations.
- Commercial (for-profit) enterprises or activities.

- Cash reserves and endowments.
- Generally, professional training in degree-granting institutions.
- Work toward academic degrees.
- Literary publishing that does not focus primarily on contemporary literature and/or writers.
- Generally, publication of books or exhibition of works by the applicant organization's staff, board members, faculty, or trustees.
- Exhibitions of, and other projects that primarily involve, single, privately-owned collections.
- Projects for which the selection of artists or artworks is based primarily upon criteria other than artistic excellence.

Additional information on unallowable costs is included in the instructions for the Project Budget form on pages 33 and 35.

PROJECT EXAMPLES

The five Arts Endowment goals that are covered by these guidelines are listed below in the order of the application deadlines.

- **Creativity: Creation and presentation of artistic work.** Projects may include, but are not limited to:

- Opportunities for artists to create and refine work, within one or across several art forms or disciplines. This may include commissions, residencies, rehearsals, workshops, collaborations with artists from other countries, design development, and the re-creation or imaginative reinterpretation of existing works as well as the development of new work.
- The public presentation, exhibition, performance, or publication of high quality artistic works of all cultures and periods (literature projects must focus on contemporary writers). This may include festivals; premieres, and second or subsequent productions, of new American works; and the use of new technology to help present work.

- **Organizational Capacity: Developing strong and valued arts organizations.** In order to realize their artistic and public service goals, arts organizations need effective leadership. For FY 2001, the Arts Endowment is emphasizing projects that develop future arts leaders and enhance the skills of those who are already working in the field. Other projects that are designed to help arts organizations become more effective and adaptable also will be considered.

Organizational Capacity support is intended for projects that will serve a broad constituency of arts organizations and artists; **this area of funding is not intended to help the applicant organization improve its own effectiveness.** Priority will be given to organizations that exist primarily to provide services to arts organizations and artists. Projects may include, but are not limited to:

- Workshops or conferences that provide professional development, networking, and other services that are designed to enhance leadership capabilities.
- Activities that explore and address opportunities for leadership training across all organizational levels, from entry level to senior management and boards.
- Skills development and other programs that are offered by local arts agencies.
- Technical assistance to help other arts organizations plan effectively for their futures, including leadership transition.
- The institution of strategies to increase artists' or arts organizations' capacity for effective leadership.

NOTE: The creation and mounting of productions, presentations, or exhibitions are not eligible under this goal.

■ **Access: Access to the arts for all.** Access projects often seek to reach: those in underserved areas; those whose opportunities to participate in the arts may have been limited by educational, geographic, ethnic, or economic constraints; or individuals with disabilities and older adults. Projects may include, but are not limited to:

- Exhibitions, performances, distribution of artistic work, and other activities that provide public access to a diverse range of art in settings that may include arts spaces, community centers, schools, senior centers, parks, etc.
- Touring to rural, state-wide, or multi-state areas.
- Outreach projects that involve diverse communities and reach new audiences.
- Innovative uses of new technology to enhance public access to the arts.

NOTE: Significant arts programs that are intended for national broadcast on television or radio are no longer eligible under Grants to Organizations, but now are covered under the FY 2001 Arts on Radio and Television guidelines. Projects that involve media broadcast on a more limited scale should be submitted under these guidelines. For further information, see page 11.

■ **Education: Lifelong education in the arts.** The Endowment is committed to the arts as an integral part of education, not only for children and young adults during their elementary and secondary school years, but for Americans of all ages, in settings in and outside the formal classroom. The Endowment regards the direct involvement of artists, and wherever appropriate, the use of original works of art and live performances as crucial elements of excellent arts education projects. Projects may include, but are not limited to:

- Arts instruction (not for academic credit) that is offered by arts organizations or artists.
- Artists' residencies, workshops, or master classes in schools or other community settings.
- Performances, exhibitions, or demonstrations that are designed especially for students or other targeted audiences and that include related learning activities before or after the event.
- Education projects that are designed to provide positive alternatives for youth through the arts.
- Training and professional development for artists and arts professionals.
- Sequential lessons or courses in the arts that have explicit learning objectives and are in line with appropriate standards and curricular frameworks.
- Research on the educational impact of the arts and artists in our nation's schools or in community settings.
- Documentation and/or dissemination of promising or proven arts education programs and practices.
- Professional development for teachers, artists, and others working with students at the elementary or secondary school level.

NOTE: See page 14 for information regarding the characterization and review of Arts Education projects.

■ **Heritage/Preservation: Preservation of our cultural heritage.** Projects may include, but are not limited to:

- Festivals, exhibits, publications/anthologies, and other presentations of artists and art forms that reflect and increase the public's appreciation for our diverse cultural traditions.
- Apprenticeships and other forms of instruction that pass artistic repertoire, techniques, and traditions on to future generations.
- The documentation, recording, or conservation of highly significant works of art, artifacts, built or designed elements, collections of art, or of cultural traditions and practices.

REVIEW CRITERIA

The following criteria are considered during the review of applications:

The **artistic excellence** of the project, which includes the:

- Artistic significance of the project.
- Quality of the artists, arts organizations, works of art, and/or services that the project will involve, as appropriate.

The **artistic merit** of the project, which includes the:

- Potential to broaden and/or deepen public knowledge, understanding, and appreciation of and access to the arts.
- Potential impact on the artistic and/or cultural heritage of the nation, region, or field.
- Potential impact on artists (including evidence of direct payment) and the artistic community.
- Where appropriate, geographic location of the applicant organization, or the potential to reach underserved populations such as those in rural areas, culturally diverse or ethnically specific communities, and individuals with disabilities.
- Appropriateness of the project to the organization's mission, audience, and/or constituency.
- Ability to carry out the project, including the appropriateness of the budget, the quality and clarity of the project goals and design, the resources involved, and the qualifications of the project's personnel.

In addition, for Education projects, as appropriate, the:

- Potential to advance the arts as a basic component of the curriculum and to address the National Standards for Arts Education, and/or the relevant state standards for arts education.
- Potential impact on learning across the curriculum through the arts.
- Plans for evaluation.

GRANT AMOUNTS AND MATCHING FUNDS

An organization may request a grant amount between \$5,000 and \$150,000. Most grant awards will range from \$5,000 to \$100,000. Grants of \$100,000 or more will be made only in rare instances, and only for projects that demonstrate exceptional national or regional significance and impact. All grants require a match of at least 1 to 1.

Applicants may wish to review the lists of recent grants on the Endowment's Web site to get a sense of recent grant award levels and project types.

The Endowment has some grant funds that may be awarded only on a 3 to 1 matching basis. If your application is recommended for funding and your project indicates that it can accommodate this level of matching funds, you may be recommended for such a grant. If so, the staff will contact you with details.

Applicants whose grants are recommended at less than the amount that is requested may be asked to revise the project budget. The Arts Endowment reserves the right to support a particular portion(s) or cost(s) of the project that is described in the application.

PERIOD OF SUPPORT

The Endowment's support of a project may start any time after the "Earliest Project Beginning Date" listed on the Application Calendar on the inside front cover of these guidelines. Grants awarded under these guidelines may cover a period of support of up to two years. **Applicants should allow sufficient time to plan, execute, and close out their project.**

A grantee may not receive two Arts Endowment grants for the same costs during the same or an overlapping period of support. In addition, different grantees may not receive grants for the same costs during the same or an overlapping period of support. Endowment staff will contact applicants should overlapping costs appear to be an issue.

Important Information for All Applicants

WHO TO CALL

If you have specific questions about your application, **please contact the staff for the field/discipline which is most appropriate for your project.** Before calling, review the “Project Field/Discipline Instructions” on page 14. We also encourage you to check the “Frequently Asked Questions” in the Guidelines section of our Web site for information and advice from panelists.

Arts Education [pre-K through 12 curriculum-based projects only; for other Education projects, call the relevant arts discipline (e.g. dance, visual arts, etc.)]
.....202/682-5563

Dance (including dance presentation)202/682-5452

Design (including architecture, urban design, landscape architecture, planning, product design, graphic design, clothing design, and interior design)202/682-5452

Folk & Traditional Arts202/682-5678, 682-5724, or 682-5726

Literature202/682-5787 or 682-5771

Local Arts Agencies (including state-wide assemblies)
.....202/682-5581 or 682-5586

Media Arts (including broadcast projects and documentaries on any art form)202/682-5452

Multidisciplinary202/682-5658 or 682-5469

Museums202/682-5452

Music (including music presentation)
Organizations with names that begin
A through M202/682-5590
Organizations with names that begin
N through Z202/682-5487

Musical Theater202/682-5509

Opera202/682-5438 or 682-5600

Presenting (multidisciplinary presentation only)
.....202/682-5591 or 682-5469

Theater (including theater presentation)
Organizations with names that begin
A through H202/682-5509
Organizations with names that begin
I through Q202/682-5511
Organizations with names that begin
R through Z202/682-5020

Visual Arts202/682-5452

WHAT HAPPENS TO YOUR APPLICATION

Applications are evaluated according to the “Review Criteria” on page 8 of these guidelines.

After processing by Endowment staff, applications are reviewed, in closed session, by advisory panelists. Each panel comprises a diverse group of arts experts and other individuals, including at least one knowledgeable layperson, with broad knowledge in related areas. Panel membership rotates regularly. The panel recommends the projects to be supported, and the Endowment staff reconciles panel recommendations with the funds that are available. These recommendations are forwarded to the National Council on the Arts, where they are reviewed in open session. The Council makes decisions on which applications to reject. It sends forward to the Chairman of the National Endowment for the Arts those applications that it recommends for funding. The Chairman makes the final decision on all grant awards. Applicants are then notified of funding decisions.

After notification, applicants who have questions may contact the Arts Endowment staff in the appropriate field/discipline. **Any denied applicants who want an explanation of the basis for denial must contact the Endowment no later than 30 days after the official notification.**

Applicants are welcome to attend meetings of the National Council on the Arts and open policy sessions of advisory panel meetings.

SITE VISITS

The Arts Endowment arranges, at its discretion, for discussions or site visits with some applicants as a part of the review of applications. Generally, a site reporter meets with organization representatives and sees a production. The information that is gathered is one of a number of items that is considered during the review of applications. Applicants may be asked to provide two complimentary tickets for the purpose of project and organizational evaluation. For further information, see the Special Application Requirements on pages 15–23.

CHANGES IN PROJECTS

Applicants must notify the Endowment immediately of any significant changes in their project (including changes in consortium members) that occur after they have submitted their application. If your project changes significantly before an award is made, any funding recommendation may be withdrawn.

Grantees are expected to carry out a project that is consistent with the proposal that was approved for funding by the Arts Endowment. If changes in the project are believed to be necessary, the grantee must send a written request, with justification, to the Endowment. Approval is not guaranteed.

GENERAL TERMS & CONDITIONS

Federal and agency requirements that relate to grants awarded by the National Endowment for the Arts are highlighted in our General Terms & Conditions, which is sent to all grantees in the grant award package. It also is available from the Arts Endowment’s World Wide Web site at <http://arts.endow.gov>. Included is information on U.S. Office of Management and Budget (OMB) requirements, matching funds, reporting requirements, and lobbying prohibitions.

OTHER ARTS ENDOWMENT PROGRAMS OF INTEREST

For general background information on the Arts Endowment, refer to our World Wide Web site at <http://arts.endow.gov> or call 202/682-5400. In addition to this guideline booklet, the Endowment also offers assistance through:

- **Positive Alternatives for Youth** is a new leadership initiative to support partnerships between arts organizations and community groups for artists’ residencies, outside of the school day or school year, that provide positive alternatives for youth. The Arts Endowment is particularly interested in programs in underserved areas where individuals lack access to quality arts programs due to geography, economic conditions, education, ethnic background, or disability. Key to this initiative are the strengthening of existing and the formation of new partnerships, particularly those that bring together artists and arts organizations with sectors outside of the arts. This initiative will pilot the Fast Track Grants aspect of the Arts Endowment’s proposed Challenge America program with grants of \$5,000 or \$10,000, and a simplified application and expedited application review. Organizations will be notified whether they are receiving a grant approximately three months after they apply. For guidelines and application information, contact 202/682-5700.

- **ArtsREACH** provides direct grants to communities in targeted states to create or implement community cultural plans which represent partnerships of arts and non-arts organizations working together to ensure that the arts are an integral part of achieving community goals. For guidelines and application information, contact the ArtsREACH staff at 202/682-5700.

- **Resources for Change: Technology** is a new initiative to help a limited number of arts organizations enhance organizational capacity through technology. For information, contact 202/682-5480 or 682-5411.

- **Partnership Agreements** assist the state and jurisdictional arts agencies and their regional organizations.

- **Leadership Initiatives** support projects that advance the arts significantly, and that have demonstrable national or field-wide importance. Organizations considering such projects should contact the Endowment's Leadership Coordinator at 202/682-5489.

- **The Arts on Radio and Television** supports significant arts programs that are intended for national broadcast on television or radio. An organization may apply under both The Arts on Radio and Television and Grants to Organizations, but may not submit or be a consortium member in more than two applications for FY 2001 funding between these two programs. For guidelines and application information, contact the Media Arts staff at 202/682-5452.

- **The New Public Works** initiative makes a limited number of grants for design competitions to stimulate excellence in design in the public realm. For guidelines and application information, contact the Design staff at 202/682-5452.

- **The Mayors' Institute on City Design** provides an opportunity for mayors and design professionals to work together to address design and development issues. For information, contact the Design staff at 202/682-5452.

- **The Arts and Artifacts Indemnity Act of 1975** (20 U.S.C. 971) authorizes federal indemnification for international exhibitions. There are two deadlines each year: October 1 and April 1. For guidelines and application information, contact the Indemnity Administrator at 202/682-5452.

- **Literature Fellowships** (poetry and prose, and the translation of each). For guidelines and application information, contact the Literature staff at 202/682-5787 or 682-5771.

- **American Jazz Masters Fellowships.** Fellowships are awarded on the basis of nominations. For information, contact the Music staff at 202/682-5590 or 682-5487.

- **National Heritage Fellowships in the Folk & Traditional Arts.** Fellowships are awarded on the basis of nominations. For information, contact the Folk & Traditional Arts staff at 202/682-5678, 682-5724, or 682-5726.

- **Access for Individuals with Disabilities.** The Arts Endowment's Office for AccessAbility assists applicants in making access for individuals with disabilities an integral part of their planning for both programs and facilities. For more information, contact the Office for AccessAbility at 202/682-5532 or 202/682-5496 Voice/T.T. The Endowment's Office of Civil Rights at 202/682-5454 or 202/682-5695 Voice/T.T. is available to investigate complaints about compliance with accessibility standards as well as other federal civil rights statutes.

- **Federal Agency Partnerships.** The Arts Endowment develops annual partnership initiatives with other agencies such as the Department of Justice, the Department of Education, etc., to address mutual goals. Please check the Endowment's Web site for current opportunities.

STANDARDS FOR SERVICE

The Arts Endowment has set the following standards for serving applicants. We pledge to:

- Treat you with courtesy and efficiency.
- Respond to inquiries and correspondence promptly.
- Provide clear and accurate information about our policies and procedures.
- Provide timely information about funding opportunities and mail available guidelines promptly.
- Promptly acknowledge the receipt of your application.
- Ensure that all eligible applications are reviewed thoughtfully and fairly.

We welcome your comments on how we are meeting these standards. Please address them to: Standards for Service Coordinator, Room 628, National Endowment for the Arts, Nancy Hanks Center, 1100 Pennsylvania Avenue, NW, Washington, DC 20506-0001, 202/682-5408, e-mail: webmgr@arts.endow.gov, attention: Standards for Service.

For questions about these guidelines or your application, contact the Arts Endowment staff for the field/discipline which is most appropriate for your project. See page 9.

How to Apply

Follow the instructions below. **Make certain that your application package is complete and as specific as possible.**

NOTE: The Arts Endowment may request additional information if needed for review.

To help us prepare your application for panel review, and because panelists must be able to read a substantial amount of material easily:

- Type all application material. Use black type and at least a 12 point font.
- **Do not reduce or condense type or line size.**
- Submit all material (excluding work samples) on 8-1/2 inch by 11 inch white paper. All margins (i.e., top, bottom, and sides of pages) must be at least one inch. Do not use colored paper.
- When photocopying material, copy on one side only. **Do not submit two-sided copies.**
- Use only paper clips and rubber bands to fasten your material. **Do not bind or staple material.**

If you are submitting more than one application (e.g., one on your own behalf and one as the lead applicant for a consortium or as a fiscal agent for another group), send each in a separate package.

Send your application package to:

Information Management Division
Room 815

[Goal/Field or Discipline under which you are applying,
e.g., Access/Museums (see "Project Field/Discipline
Instructions" on page 14)]

National Endowment for the Arts
Nancy Hanks Center

1100 Pennsylvania Avenue, NW
Washington, DC 20506-0001
(Overnight Mail Zip Code: 20004)

If **new** information that significantly affects your application becomes available after the deadline, please send that information immediately to the specialist for the appropriate field/discipline. **Include your application number on any such submissions;** your application number will be provided on the Application Acknowledgment Card that the Endowment will send you upon receipt of your application package.

Please submit your application material in the order and format noted below. Use the [Application Checklist](#) on page 46 to make sure that all required material has been included in your package. You do not need to include the Checklist in your application package. Be sure to make a copy of all application material for your records.

1. The completed [Application Acknowledgment Card](#) from the inside back cover of these guidelines or a self-addressed postcard.

2. **Two copies** of the [Internal Revenue Service determination letter for tax-exempt status](#) or of the official document that identifies the applicant as a unit of state or local government, or as a federally recognized tribal community or tribe. **Local arts agencies applying for subgranting projects also must include a copy of the city/county ordinance, resolution, charter, or contract** that assigns them the authority to operate on their local government's behalf.

3. **The original** (i.e., a set with original signatures) **and two copies** of the [Application Forms](#) on pages 24–45. Instructions for completing each form are on the form or on the page opposite the form in this booklet. When you photocopy your two copies of the completed Application Forms, be sure to copy only the forms and not the instruction pages.

Application forms that can be filled out on a computer are available from the Arts Endowment's World Wide Web site at <http://arts.endow.gov>. Application forms also may be reproduced on a computer, but they must be accurate replicas of the actual forms. Do not add pages. Failure to prepare and format an application correctly may lead to rejection. **All completed application forms must be mailed to the Arts Endowment in hard copy format as part of the application package; the Endowment does not accept applications electronically.**

4. Two copies of brief, current biographies (**one-half page** maximum for each bio) of the key project-related personnel [e.g., the proposed primary artist(s), project director, artistic director, curator, editor, folklorist, conductor, etc.]. Send no more than **two pages** of bios; group several on one page. Do **not** substitute resumes for the required biographies. However, if your project involves highly technical professionals (e.g., individuals who work with new technology, art conservators, etc.), submit **two copies** of resumes (not bios) for those individuals.

For parent organizations that apply on behalf of eligible components, also submit **two copies** of a list of key staff of the component unit, and describe any overlaps in staffing with the parent organization.

5. Two copies of a list of current board members including professional affiliations.

For parent organizations that apply on behalf of eligible components, submit **two copies** of a list of board/advisory group members for the component and for the parent organization. Note how long each board/advisory group has been in existence.

6. Two copies each of sample programs, brochures, calendars, catalogues, or other promotional material for the previous and current seasons.

Parent organizations that apply on behalf of eligible components should submit brochures or other printed material that document the identity of the component as distinct from the parent organization.

7. Two copies of a representative list, in chronological order, of your organization's programming or recent activities for the following years: 1997–98, 1998–99, 1999–2000. This list should demonstrate your eligibility (i.e., three-year history of programming) and the artistic excellence and merit of your organization. If available, include programming that has a relationship to the project for which you are requesting support (e.g., submit examples of previous festival programming if your project is for a festival). Submit a maximum of **three pages** total.

For most applicants, this list should show selected artists/projects/exhibitions/works that your organization has or will have performed/produced/exhibited/presented.

Use the bullets below as a guide to possible column headings for your list; adjust them as appropriate for your organization. See the example at the bottom of this page.

- Titles of the works/productions/exhibitions, etc.
- Creator(s): choreographer, composer, playwright, artist, designer, etc.
- Other key artists: director, conductor, etc.
- Performing company(ies) or primary performer(s) or artist(s).
- Dates, location(s), and the number of public performances/events/exhibitions. (Include attendance figures where available.)
- Fees paid to artists/companies. (Use average or aggregate fees where appropriate. For Musical Theater and Theater projects, include actors' average weekly salary for rehearsals and performances for the 1999–2000 season.)

If the suggested column headings and example below are not appropriate in your case, provide this information in a format that works for your organization.

Example:

A performing arts group might format its representative list as follows:

Title/Creator	Key Artist(s)	Location	Dates/# Perfs.	Attendance	Fees
Work A/Creator A	John Red, Jane White	Civic Theater	Jan 27–31, 1999/6 perfs.	482	\$\$
Work B/Creator B	Richard Blue, Robert Brown	Civic Theater	April 17–21, 1999/7perfs.	436	\$\$

8. Two copies of evidence of commitment/letters of support for the project by all collaborating organizational partners or artists, where relevant. Do not provide general letters of support for your organization. Letters of support should clearly indicate how the project will serve the beneficiaries. For school, residency, and touring projects, provide evidence of commitment/interest from the host and other collaborating organizations. (Provide a sampling of letters if your project involves more than five other organizations.)

If your application is for a **consortium project**, have each member of the consortium complete the Consortium Member Information Form on page 40 instead of a letter. You may provide a photocopy of the blank form to each consortium member; consortium members may obtain a copy of this form from the Arts Endowment's World Wide Web site at <http://arts.endow.gov>; or consortium members may reproduce this form on their computers. **Two copies** of a completed form from each consortium member, including all required signatures, must be included in the application package for the application to be considered complete.

9. If your project is based on copyrighted material, two copies of a signed statement that documents the clearance of rights for this particular project or publication. If rights have yet to be obtained, indicate when they will be secured.

10. If you are submitting work samples (see Item 11 below), **two copies** (**three copies** for Music and Opera projects) of the Work Sample Index on page 38. See also "How to Submit Work Samples" on page 39.

11. The Special Application Requirements on pages 15–23. Follow the instructions for the field/discipline that is most relevant to your project. To determine the appropriate field/discipline, please read carefully the "Project Field/Discipline Instructions" opposite. See also "How to Submit Work Samples" on page 39.

PROJECT FIELD/DISCIPLINE INSTRUCTIONS

Each applicant is asked to determine the **one field or discipline that is most relevant to its project** and to indicate this on the application form. This selection will determine the Special Application Requirements for your application and will aid the Endowment's application review.

The list below is not in alphabetical order. Please read each possible selection **in order** and select the **first** one that is relevant to the primary purpose of your project. If you have questions, refer to the telephone listing on page 9.

- **Media Arts** (including broadcast projects and documentaries on any art form)
- **Folk & Traditional Arts** (including folk & traditional arts projects in any art form)
- **Arts Education** [Select Arts Education only if the **sole focus** of your project is the curricular and instructional areas of a pre-K through 12 school or broader educational system (e.g., curriculum development and implementation, professional development for teachers and/or artists, research). Select the relevant arts discipline (e.g., dance, visual arts) if the focus of your project, **either wholly or in part**, is non-curriculum-based learning activities designed to increase the understanding or skills of children, youth, or adults in the arts.]
- **Local Arts Agencies** (including projects in any discipline that are submitted by a local arts agency that involves, on a regular basis, programming in more than one art form; or a state-wide assembly of local arts agencies)
- **Museums** (including projects in any discipline that are submitted by a museum)
- **Presenting** (multidisciplinary presenting projects only)
- **Multidisciplinary** (interdisciplinary collaboration and projects that involve more than one discipline)
- **Dance** (including dance presentation)
- **Design** (including architecture, urban design, landscape architecture, planning, product design, graphic design, clothing design, and interior design)
- **Literature**
- **Music** (including music presentation)
- **Musical Theater**
- **Opera**
- **Theater** (including theater presentation)
- **Visual Arts**

The Special Application Requirements for each field/discipline are detailed below and on pages 16–23; they appear alphabetically by field/discipline and not in the order that is listed above.

In some cases, the Arts Endowment staff may transfer an application to a field/discipline other than the one that was selected by the applicant to ensure appropriate panel review. In such cases, applicants will be notified and given the opportunity to submit additional work samples and/or other material that may be required. The Arts Endowment will not transfer applications between goals.

SPECIAL APPLICATION REQUIREMENTS

The instructions on pages 16–23 outline the work samples and/or other required material that you should submit as part of your application package. This material is intended to demonstrate artistic excellence and merit, and to enhance the panel's understanding of your application and your organization's ability to carry out the project. Samples and material should be recent, of high quality, and as relevant to the project as possible. For example, applicants proposing:

- **To complete a work** should submit a sample of the work-in-progress.
- **Commissioning projects** should submit samples that provide an example(s) of work by the artist(s) involved in the proposed project.
- **Artists' community or artist residency** projects should submit work samples of selected artists' recent work and the facilities they will use. If the artists are not yet selected, submit samples of work by artists who recently have been in residence.
- **Group projects** or **collaborations** should submit samples which demonstrate the ability to do such a project.
- **Educational projects** should submit relevant samples such as study guides, teacher training manuals, publications for planned activities, etc.

Submit sample work in the format that is most relevant to your project; you do not have to submit everything (e.g., slides and an audio cassette and a video, etc.) that is listed for your project's field/discipline.

ARTS EDUCATION PROJECTS

(pre-K through 12 curriculum-based projects; see page 14)

When relevant to the proposed project, submit samples of student work, as well as artist and/or teacher work.

Submit identical sets of the following. Place each set in a separate 2" (or smaller) three-ring notebook or folder with the applicant's name on the cover. For notebooks, also label the spine with the applicant's name.

SLIDES

Two copies of up to 12

AUDIO CASSETTE, CD, OR DAT

Two copies

VHS OR ¾" VIDEO CASSETTE, OR CD-ROM

Two copies

PUBLICATIONS

Two copies

OTHER

As appropriate, two copies of: sample lesson plans, teachers' guides, sample curricula, syllabi, or program evaluation methods; can be in print or CD-ROM format

DANCE PROJECTS

(including dance presentation)

VHS OR ¾" VIDEO CASSETTE, OR CD-ROM

For dance companies only, one copy of unedited performances by your company that took place within the past two years and excerpt(s) of proposed artist(s) or work(s), as appropriate. Cue to the start of the dance sample. Do not send promotional tapes.

OTHER

As appropriate, one copy of relevant educational material

Submit only samples that are relevant to your proposed project; you do not have to submit all of the samples listed. NOTE: See pages 12–14 for a listing of other required application material.

DESIGN PROJECTS

(including architecture, urban design, landscape architecture, planning, product design, graphic design, clothing design, and interior design)

SLIDES

One copy of up to 20; a slide script must be attached to the slide sleeve (see page 39). The slide script should provide a brief description of each work (up to three sentences), that includes how the image relates to the project.

VHS OR ¾" VIDEO CASSETTE, OR CD-ROM

One copy; include cue information, or real elapsed time, that indicates the start of each selection. The work sample should be a maximum of two minutes.

PUBLICATIONS

For periodicals, four copies of recent issues

For all other publications, one copy of two recent publications

OTHER

One copy of:

For Web sites, one disk that contains up to five pages to be shown, or the URLs for pages to be shown

For exhibitions, a working checklist with designer, title, date, size, medium, lender, and lender's degree of commitment. *If touring,* a list of venues with dates.

For preservation or conservation of an object, site, or structure, a condition report and a treatment proposal

For publications/periodicals/catalogues/monographs (as appropriate), sample text, if available, or short writing samples (up to two pages); a list of proposed articles and committed writers; total print run, production schedule, distribution plans, # of pages, sales price; contributors' fees and payment schedule

For design and planning projects of all kinds (as appropriate), drawings, renderings, and other visuals no larger than 11" x 14"; do not send original materials

As appropriate, relevant educational material

FOLK & TRADITIONAL ARTS PROJECTS

SLIDES

One copy of up to 20 that demonstrate quality of artistic content and/or technical ability, as appropriate

AUDIO CASSETTE, CD, OR DAT

One copy that demonstrates quality of artistic content and/or technical ability, as appropriate

VHS OR ¾" VIDEO CASSETTE, OR CD-ROM

One copy that demonstrates quality of artistic content and/or technical ability, as appropriate

PUBLICATIONS

One copy that demonstrates quality of artistic content and/or technical ability, as appropriate

OTHER

One copy of:

For media projects, a proposed treatment of the subject

For exhibitions, a one-page detailed exhibition plan

For multi-faceted projects, a separate budget breakdown detailing the allocation of funds for each component

As appropriate, relevant educational material

LITERATURE PROJECTS

SLIDES

If applicable, **one copy** of up to 12

AUDIO CASSETTE, CD, OR DAT

If applicable, **one copy**

VHS OR ¾" VIDEO CASSETTE, OR CD-ROM

If applicable, **one copy**

PUBLICATIONS

*For publishing projects, **four copies** each of four publications that were issued by your organization within the last three years*

OTHER

*For magazines and presses, **one copy** of a one-page list of the projected sales figures, print runs, and your current payment to writers policy*

*For presses, **four copies** of five pages of manuscript from each proposed work*

*As appropriate, **one copy** of relevant educational material*

LOCAL ARTS AGENCIES PROJECTS

(including state-wide assemblies)

Applicants may find it helpful to refer to the Special Application Requirements for the discipline(s) that is most relevant to the project for guidance in selecting their work sample.

SLIDES

One copy of up to 12

AUDIO CASSETTE, CD, OR DAT

One copy

VHS OR ¾" VIDEO CASSETTE, OR CD-ROM

One copy

OTHER

One copy of relevant educational material

Submit only samples that are relevant to your proposed project; you do not have to submit all of the samples listed. NOTE: See pages 12–14 for a listing of other required application material.

MEDIA ARTS PROJECTS

(including broadcast projects and documentaries on any art form)

Provide specific examples of previous activities that demonstrate your ability to carry out the project (i.e., workshops/residencies previously conducted, films preserved, programs produced, artists served, etc.).

Include in the "Details of the Project" narrative, as appropriate:

For film/tape preservation, a description of each work that is to be preserved, its artistic significance, its physical condition, the methods of preservation, and plans for access to the material.

For distribution, a description of the criteria for film/tape selection, and rights and revenues agreement with artists.

For production facilities and residencies, a description of the facility, how artists are made aware of it, and highlight some recently produced projects.

AUDIO CASSETTE, CD, OR DAT

One copy

For production projects, if you submit a work-in-progress, also submit a completed work by the person(s) with primary artistic responsibility

For production facilities, submit two samples of work recently completed at your organization

VHS OR ¾" VIDEO CASSETTE, OR CD-ROM

One copy

For production projects, if you submit a work-in-progress, also submit a completed work by the person(s) with primary artistic responsibility

For production facilities, submit two samples of work recently completed at your organization

PUBLICATIONS

Four copies of the two most recent issues

OTHER

Three copies of:

For narrative projects, the screenplay and a one-page plot synopsis

For exhibition projects, a two-page detailed list of your proposed exhibition program

For touring, a one-page list of venues with dates and the degree of commitment

For workshops/residencies/conferences/seminars, a list of the proposed activities and the names of the participants

MULTIDISCIPLINARY PROJECTS

(interdisciplinary collaboration and projects that involve more than one discipline)

Multidisciplinary applicants must submit samples in **at least two** art forms.

SLIDES

One copy of up to 12

AUDIO CASSETTE, CD, OR DAT

Two copies; cue to the start of the sample to be reviewed, and include cue information on the Work Sample Index

VHS OR ¾" VIDEO CASSETTE, OR CD-ROM

Two copies; cue to the start of the sample to be reviewed, and include cue information on the Work Sample Index

PUBLICATIONS

Three copies

OTHER

As appropriate, **three copies** of: up to 15 pages of a literary sample, or relevant educational material

MUSEUM PROJECTS & VISUAL ARTS PROJECTS

Slides are preferred as work samples; however, submit other types of work samples as appropriate to your project.

Include in the "Details of the Project" narrative, as appropriate:

For planning projects in all areas, a work plan and schedule.

For residency or commissioning projects, a description of the proposed working process.

For conservation projects, a description of how the project fits within the overall exhibition schedule and collection maintenance plans.

Provenance research is an eligible project expense, as is the purchase of works of art by living American artists.

SLIDES

One copy of up to 20 for a single applicant/up to 30 for a consortium project

For reinstallations, include slides of the existing galleries

For catalogues, include slides of the objects to be included

For public art projects, include slides of the site and the project, if available

AUDIO CASSETTE, CD, OR DAT

One copy

VHS OR ¾" VIDEO CASSETTE, OR CD-ROM

One copy

PUBLICATIONS

For periodicals, **four copies** of recent issues

For all other publications, **one copy** of two recent publications

OTHER

One copy of:

For exhibitions (organizing or borrowing), a working checklist with artist, title, date, size, medium, lender, and lender's degree of commitment. *If touring*, a list of venues with dates.

For reinstallations, a proposed floor plan of the new configuration and bios of outside consultants

For public art projects, evidence of permission to use the site

For conservation (only objects owned by the applicant are eligible), a condition report and a treatment proposal (one-page maximum each) signed and dated by the proposed conservator

For publications/periodicals/catalogues (as appropriate), sample text; a list of proposed articles and committed writers; total print run, production schedule, distribution plans, # of pages, sales price; contributors' fees and payment schedule

Submit only samples that are relevant to your proposed project; you do not have to submit all of the samples listed. NOTE: See pages 12–14 for a listing of other required application material.

MUSIC PROJECTS

(including music presentation)

AUDIO CASSETTE OR CD

Three copies of a 15–25 minute composite recording of unedited performances of at least two contrasting works that are typical of the repertoire performed or presented by your organization within the past two years. Also include, as appropriate, excerpt(s) of proposed artist(s) or work(s) to be performed or presented. If not already included, any additional works that are relevant to your proposed project.

DAT format is not accepted.

For projects that involve the creation of work, include samples of work by the creative artist(s)

If you are applying for a consortium project, provide **three copies** of a composite audio cassette or CD from **each** consortium member.

VHS OR ¾" VIDEO CASSETTE, OR CD-ROM

As appropriate, **three copies**

OTHER

Two copies of:

For career development activities, a list of the names and current professional affiliations of career development participants from the past two years

As appropriate, relevant educational material

MUSICAL THEATER PROJECTS AND THEATER PROJECTS

(including theater presentation)

Do not submit work samples (e.g., video or audio cassettes, slides, scripts, etc.).

SITE VISITS

The Endowment will make every effort to see that a site visit is made to your organization. To schedule site visits, applicants who did not apply for a Musical Theater or Theater project in FY 2000 (in March or August 1999) must send a written letter of intent to apply to the Director of Musical Theater and Theater. Send this letter as soon as possible after receiving these guidelines; it must be postmarked no later than:

- March 10, 2000 for applications under Creativity or Organizational Capacity.
- July 14, 2000 for applications under Access, Education, or Heritage/Preservation.

Site visits for letters of intent postmarked after these dates generally will not be considered in the FY 2001 review cycle. Your letter of intent must include 1) the goal under which you will be applying; 2) confirmation of your organization's non-profit, tax-exempt status and its three-year history of programming prior to the application deadline; and 3) a contact person and telephone number.

OTHER

Two copies of:

For all projects, a one-page signed statement from the Artistic Director that discusses the reasons for the project's selection and its relationship to the artistic vision of the organization

For projects that involve the creation of work, a one-page statement written by the primary creative artists with responsibility for the project

For touring, a tentative touring itinerary and roster of companies/works/activities for which support is requested

For career development activities, a list of the names and current professional affiliations of career development participants from the past two years

For publications/periodicals/catalogues (as appropriate), two works published by your organization that are similar to the project; sample text; a list of proposed articles and committed writers; total print run, production schedule, distribution plans, # of pages, sales price; contributors' fees and payment schedule

As appropriate, relevant educational material

OPERA PROJECTS

Video cassettes are preferred as work samples; however, submit other types of work samples as appropriate to your project.

VHS OR ¾" VIDEO CASSETTE, OR CD-ROM

Three copies of:

For all projects, a 20 minute composite recording of performances that took place within the past two years which have relevance to the project

For projects that involve the creation of work, include samples of work by the creative artist(s)

For touring or educational projects, include samples of touring or educational activities in addition to mainstage performances

AUDIO CASSETTE OR CD

If a video cassette is not available, **three copies** of a 20 minute composite recording of performances that took place within the past two years which have relevance to the project

For projects that involve the creation of work, include samples of work by the creative artist(s)

For touring or educational projects, include samples of touring or educational activities in addition to mainstage performances

DAT format is not accepted

SLIDES

One copy of up to 12

OTHER

Two copies of:

For all projects, a one-page signed statement from the Artistic Director that discusses the reasons for the project's selection and its relationship to the artistic vision of the organization

For projects that involve the creation of work, a one-page statement written by the primary creative artists with responsibility for the project, and samples from the score and libretto

For career development activities, a list of the names and current professional affiliations of career development participants from the past two years

As appropriate, relevant educational material

SITE VISITS

The Endowment will make every effort to see that a site visit is made to your organization. To schedule site visits, applicants who did not apply for an Opera project in FY 2000 (in March or August 1999) **must** send a letter of intent to the Opera staff as soon as possible after receiving these guidelines, but postmarked no later than February 15, 2000. Your letter of intent must include 1) the goal under which you will be applying; 2) a copy of your organization's IRS determination letter confirming your nonprofit, tax-exempt status; 3) a listing of your organization's three-year history of programming for 1997–98, 1998–99, 1999–2000; 4) your performance schedule through August 31, 2000; and 5) the name of a contact person and telephone number.

Submit only samples that are relevant to your proposed project; you do not have to submit all of the samples listed. NOTE: See pages 12–14 for a listing of other required application material.

PRESENTING PROJECTS

(multidisciplinary presentation only)

SLIDES

One copy of up to 12

AUDIO CASSETTE, CD, OR DAT

Two copies; cue to the start of the sample to be reviewed, and include cue information on the Work Sample Index

VHS OR ¾" VIDEO CASSETTE, OR CD-ROM

Two copies; cue to the start of the sample to be reviewed, and include cue information on the Work Sample Index

OTHER

As appropriate, **one copy** of: documentation of a Web site, or relevant educational material

Basic Information, Part 1

OMB No. 3135-0112
Expires 11/30/2000

Is this your first application to the Arts Endowment? ☐ No ☐ Yes

If no, please check here if your name or address has changed since your last application: ☐

Applicant (official IRS name):

Mailing Address:

Street Address (if different):

Taxpayer ID Number (9-digit number):

—

Goal (check one):

- ☐ **Creativity: Creation and presentation of artistic work.** (5)
- ☐ **Organizational Capacity: Developing strong and valued arts organizations.** (9)
- ☐ **Access: Access to the arts for all.** (4)
- ☐ **Education: Lifelong education in the arts.** (8)
- ☐ **Heritage/Preservation: Preservation of our cultural heritage.** (6)

Project Field/Discipline (check one; see page 14):

- | | | | |
|---|---|---|---|
| <input type="checkbox"/> Media Arts (34) | <input type="checkbox"/> Museums (44) | <input type="checkbox"/> Design (42) | <input type="checkbox"/> Opera (36) |
| <input type="checkbox"/> Folk & Traditional Arts (55) | <input type="checkbox"/> Presenting (54) | <input type="checkbox"/> Literature (52) | <input type="checkbox"/> Theater (32) |
| <input type="checkbox"/> Arts Education (51) | <input type="checkbox"/> Multidisciplinary (70) | <input type="checkbox"/> Music (31) | <input type="checkbox"/> Visual Arts (41) |
| <input type="checkbox"/> Local Arts Agencies (62) | <input type="checkbox"/> Dance (33) | <input type="checkbox"/> Musical Theater (28) | |

Project Director (Last, first):

(Check one) ☐ Mr. ☐ Ms.

Title:

Telephone: ()

ext.

Fax: ()

E-Mail:

I certify that the information contained in this application, including all attachments and supporting material, is true and correct to the best of my knowledge. I also certify that the applicant is in compliance with the federal requirements specified under "Assurance of Compliance" on pages 47–48.

1. Authorizing Official (Last, first):

(Check one) ☐ Mr. ☐ Ms.

Title:

Telephone: ()

ext.

Fax: ()

E-Mail:

Signature of Authorizing Official:

Date: / /

2. Additional Authorizing Official (Last, first):

(Check one) ☐ Mr. ☐ Ms.

Title:

Telephone: ()

ext.

Fax: ()

E-Mail:

Signature of Additional Authorizing Official:

Date: / /

Instructions for the Basic Information Form, Part 1

APPLICANT: Type your organization's name and address in the spaces provided. The name provided here and at the top of each page must be identical to the applicant's legal name in the IRS determination letter for tax-exempt status or in the official document that identifies the organization as a unit of state or local government. If the applicant uses a popular name that is different, you may note that name in parentheses after the IRS name.

If you are a fiscal agent or a parent organization that is applying on behalf of a sponsored organization or component, do not list the name of the sponsored organization or component here; you will be asked to provide it in the section "For this application, the applicant is serving as a" on page 26. For example, a parent organization that is applying on behalf of a component would list its name here ("State University"), and the name of the sponsored organization ("ABC Performing Arts Center") on page 26.

TAXPAYER ID NUMBER: Also known as "Employer Identification Number." Enter the 9-digit number that was assigned by the Internal Revenue Service; do not use a Social Security Number.

GOAL: Check the **one** goal that is most relevant to your project. Refer to the Application Calendar on the inside front cover of these guidelines for the deadline dates for each goal.

PROJECT FIELD/DISCIPLINE: Check the **one** field/discipline that you selected in accordance with the "Project Field/Discipline Instructions" on page 14.

AUTHORIZING OFFICIAL(S): Provide this information for the official of the applicant organization who has the legal authority to obligate the organization. This individual should sign and date the form where indicated. If the applicant is a component of a college or university, make sure that your application is authorized and submitted by the appropriate college/university office, e.g., the sponsored projects office.

If you are awarded a grant, the authorizing official(s) identified on your application can sign payment requests, requests to amend the grant, and final reports. If your organization wishes to identify more than one authorizing official for this project, please provide the information requested under "2. Additional Authorizing Official" and have the second authorizing official sign in the space provided.

Basic Information, Part 2

OMB No. 3135-0112
Expires 11/30/2000

Read the instructions on page 27 before you start.

Applicant (official IRS name):

City, State:

World Wide Web Address:

Responsibility for organization and project

Enter the name and title of the individual(s) with primary artistic and managerial responsibility for:

The organization: Artistic:

Managerial:

The project: Artistic:

Managerial:

Summary of project

For this application, the applicant is serving as a (check if applicable; otherwise leave blank):

☐ Lead Member of a Consortium ☐ Fiscal Agent ☐ Parent of a Component

If you have checked one of the boxes above, list here the members of your consortium, or the group or entity on whose behalf you are applying:

Period of Support (e.g., 06/01/01 to 12/31/02): From: / / To: / / Number of Months:

Project Budget Summary:

Amount Requested \$ _____

PLUS

Total match for this project + _____

MUST EQUAL

Total Project Costs \$ _____

Total organizational operating expenses for the most recently completed fiscal year: \$ _____

(restatement of the "Total Expenses" listed on the Financial Information form on page 36)

For year ending (month/year): /

Instructions for the Basic Information Form, Part 2

RESPONSIBILITY FOR ORGANIZATION AND PROJECT:

Enter the name and title of the individual(s) who have primary artistic and managerial responsibility for your organization and your project. You may enter more than one name if responsibility is shared equally.

SUMMARY OF PROJECT: In this space, briefly describe how you plan to use the Arts Endowment and matching funds. Be specific about the PROJECT for which you are requesting support. Do NOT describe your organization.

FOR THIS APPLICATION, THE APPLICANT IS SERVING AS A (check if applicable; otherwise leave blank):

See page 5 for definitions.

- **Lead member of a consortium.** Check the “Lead Member of a Consortium” box and list your consortium members in the space provided.
- **Fiscal agent for another organization.** Check the “Fiscal Agent” box and enter the name of the group on whose behalf you are applying in the space provided. Items that relate to the official applicant should refer to the fiscal agent.
- **Parent institution applying on behalf of an eligible separate component.** Check the “Parent of a Component” box and enter the name of the component in the space provided. Items that relate to the official applicant should refer to the parent organization.

PERIOD OF SUPPORT is the span of time that is necessary to plan, execute, and close out your project. Use two-digit numerals, e.g., 06/01/01 to 12/31/02 for June 1, 2001 through December 31, 2002. The Endowment’s support of a project may start any time after the “Earliest Project Beginning Date” listed on the Application Calendar on the inside front cover of these guidelines. A grant period of up to two years is allowed.

NUMBER OF MONTHS: Enter the number of months that your “Period of Support” will encompass.

PROJECT BUDGET SUMMARY:

- **Amount Requested:** This is a restatement of the “Amount requested from the Arts Endowment” listed on page 32.
- **Total match for this project:** This is a restatement of the “Total match for this project” listed on page 32.
- **Total Project Costs:** This is a restatement of the “Total project costs” listed on page 34.

TOTAL ORGANIZATIONAL OPERATING EXPENSES FOR THE MOST RECENTLY COMPLETED FISCAL YEAR: Unaudited figures are acceptable. This item is a restatement of the “Total Expenses” listed on the Financial Information form on page 36.

Organizational Background

OMB No. 3135-0112
Expires 11/30/2000

Read the instructions on page 29 before you start.

Applicant (official IRS name):

<p>Mission/purpose of your organization:</p>
<p>Organization overview:</p>

Instructions for the Organizational Background Form

Complete in the spaces provided (one-page maximum).

Do not continue on additional pages and do not type outside the boxes. Do not reduce type below 12 point font size; leave space between paragraphs. If you are a fiscal agent or a parent organization that is applying on behalf of a component, this information should refer to the group or component on whose behalf you are applying.

In the top box, briefly summarize the mission and purpose of your organization. For organizations whose work extends beyond the cultural sphere, e.g., universities, human service agencies, etc., summarize your mission as it pertains to your public cultural programs and/or services.

Under "Organization overview," provide the following:

- An overview of your organization's activities.
- Some specific examples of previous activities that demonstrate your organization's ability to carry out the project for which you are requesting support.
- The size and general demographics (e.g., ethnicity, income, age, etc.) of the community/region/ audience that you serve. If you are a membership organization, indicate the number of individuals and/or organizations that you serve.
- A description of any special efforts that your organization is making to reach a broad segment of the community.

Details of the Project

OMB No. 3135-0112
Expires 11/30/2000

Read the instructions on page 31 before you start. You may attach up to two additional pages if necessary.

Applicant (official IRS name):

Instructions for the Details of the Project Form

Type your narrative in the space provided; do not type outside the box. Do not reduce type below 12 point font size; leave space between paragraphs. The Endowment and its panelists prefer succinct narratives; however, you may attach up to two additional pages if necessary. Make sure that any additional pages are labeled clearly with your organization's name and have margins of at least one inch.

The information that you provide will be reviewed in accordance with the "Review Criteria" on page 8. Your project narrative should address each of the "Review Criteria" and include information on the following, as relevant to your project:

- Major project activities.
- Schedule.
- Artists, arts organizations, and works of art that will be involved in the project. (Bios of key project personnel are requested as a separate item; see item 4 on page 13.) Indicate whether the artists and organizations cited are committed to or merely proposed for the project. Where relevant, describe their involvement in the development of the project to date. Where key individuals or organizations remain to be selected, describe the procedures that you plan to follow and the qualifications that you seek.
- The location(s) of the proposed activity and any special resources that will be used.

- The intended audience or other beneficiaries. Estimate, to the extent possible, the number of people the project will serve. Describe any underserved groups or areas that will benefit. If your project is targeted to a specific population, describe your efforts to include that population in the planning for and implementation of the project.
- Plans for promoting, publicizing, and/or disseminating the project.
- Plans for documenting and/or evaluating the project.
- Plans for making the project accessible to individuals with disabilities. (For technical assistance on how to make your project fully accessible, contact the Endowment's Accessibility Office at 202/682-5532 or 202/682-5496 Voice/T.T. or the Civil Rights Office at 202/682-5454 or 202/682-5695 Voice/T.T.)
- If the project has received previous Arts Endowment support, how the funds were used.

Project Budget

OMB No. 3135-0112
Expires 11/30/2000

Page 1 of 2. Read the instructions on page 33 before you start.

Applicant (official IRS name):

INCOME

1. Amount requested from the Arts Endowment: \$

2. Total match for this project. Be as specific as possible. Asterisk (*) those funds that are committed or secured.

Cash (Refers to the cash donations, grants, and revenues that are expected or received for this project) Amount

Total cash a. \$

In-kind (These same items also must be listed as direct costs under "Expenses" below or on page 34)

Total in-kind b. \$

Total match for this project (a. + b.) \$

EXPENSES

1. Direct costs: Salaries and wages

Title and/or type of personnel	Number of personnel	Annual or average salary range	% of time devoted to this project	Amount
-----------------------------------	------------------------	-----------------------------------	--------------------------------------	--------

Total salaries and wages a. \$

Fringe benefits Total fringe benefits b. \$

Total salaries, wages, and fringe benefits (a. + b.) \$

Instructions for the Project Budget Form

NOTE: Your Project Budget should reflect only those costs that will be incurred during the “Period of Support” that you indicate on page 26; do not include costs incurred before or after those dates. **Round all numbers to the nearest \$100.** Combine like costs if necessary to making rounding more realistic.

INCOME

1. AMOUNT REQUESTED FROM THE ARTS ENDOWMENT: Indicate the amount that you are requesting from the Arts Endowment. Organizations may request a grant amount between \$5,000 and \$150,000. Be realistic in your request.

2. TOTAL MATCH FOR THIS PROJECT: The Arts Endowment generally requires each applicant to obtain at least half the total cost of each project from non-federal sources. Matches of more than dollar for dollar are encouraged. Be as specific as possible. For consortium applications, or projects that include additional partners, indicate on the form the portion of the match that is being contributed by each participant. **Asterisk (*) those funds that are committed or secured.**

Cash match refers to the cash donations (including items or services that are provided by the applicant organization or consortium members), grants, and revenues that are expected or received for this project. Do not include any Arts Endowment or other federal grants that are anticipated or received. Identify sources.

In-kind contributions are goods and services that are donated by individuals or organizations other than the applicant (or in the case of a consortium application, other than the applicant and the consortium members). **To qualify as matching resources, these same items also must be listed in the project budget as direct costs.** The dollar value of these non-cash donations should be calculated at their verifiable fair-market value. Identify sources.

EXPENSES

DIRECT COSTS are those that are identified specifically with the project. For consortium applications, or projects that include additional partners, indicate on the form the portion attributed to each participant.

1. DIRECT COSTS: Salaries and wages cover compensation for personnel, administrative and artistic, who are paid on a salary basis. (Funds for contractual personnel and compensation for artists who are paid on a fee basis should be included in “3. Other expenses,” and not here.) Indicate the title and/or type of personnel, the number of personnel, the annual or average salary range, and the percentage of time that will be devoted to the project. List key staff positions, and combine similar functions. Where appropriate, use ranges. (See example below.)

Salaries and wages for performers and related or supporting personnel must be estimated at rates no less than the prevailing minimum compensation as required by the Department of Labor Regulations. (See “Legal Requirements” on page 47.) Salaries and wages that are incurred in connection with fund raising are not allowable project expenses; do not include them in your budget.

Fringe benefits are those costs other than wages or salary that are attributable to an employee, as in the form of pension, insurance, etc. They may be included here only if they are not included as indirect costs.

EXAMPLE

Title and/or type of personnel	Number of personnel	Annual or average salary range	% of time devoted to this project	Amount
Executive Director	1	\$40,000 per yr.	10%	\$4,000
Archivists	3	\$20-25,000 per yr.	5–40%	\$15,000
Support Staff	2	\$15-20,000 per yr.	20–30%	\$9,000

Project Budget

OMB No. 3135-0112
Expires 11/30/2000

Page 2 of 2. Please read the instructions on page 35 before you start.

Applicant (official IRS name):

EXPENSES, CONTINUED

2. Direct costs: Travel (include subsistence)

# of travelers	From	To	Amount
----------------	------	----	--------

Total travel \$

3. Direct costs: Other expenses (Include consultant and artist fees, honoraria, contractual services, sign-language interpretation, closed or open captioning, large-print brochures/labeling, telephone, photocopying, postage, supplies and materials, publication, distribution, transportation of items other than personnel, and rental of space or equipment)

Amount

Total other expenses \$

4. Total direct costs (1.+2.+3.) \$

5. Indirect costs (if applicable):

Federal Agency:	Rate (%)	x Base	= \$
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6. Total project costs (4.+5.) \$

Instructions for the Project Budget Form

EXPENSES, CONTINUED

2. DIRECT COSTS: Travel must be estimated according to the applicant's established travel practice, providing that the travel cost is reasonable and does not exceed the cost of air coach accommodations. **Include subsistence costs as part of the "Amount" listed for each trip, as appropriate.**

Foreign travel, if any is intended, must be specified in this section and must conform with government regulations. If Arts Endowment funds are used for foreign travel, such travel must be booked on a U.S. air-carrier when this service is available.

3. DIRECT COSTS: Other expenses include consultant and artist fees, honoraria, contractual services, sign-language interpretation, closed or open captioning, large-print brochures/labeling, telephone, photocopying, postage, supplies and materials, publication, distribution, transportation of items other than personnel, and rental of space or equipment. **List artist compensation here if artists are paid on a fee basis.**

Television broadcast projects and educational/interpretive videos must be closed or open captioned. Applicants should check with captioning organizations for an estimate.

If you intend to purchase any equipment that costs \$5,000 or more per item and that has an estimated useful life of more than one year, you must identify that item here and attach a written justification.

Group similar items together on a single line, with only one total cost. List consultant and artist fees, honoraria, or contracts for professional services on consecutive lines; do not scatter them throughout the list. Specify the number of persons and the applicable fee, rate, or amount of each. You may attach additional sheet(s) if necessary.

EXAMPLE

Artists (5 @ \$300–500 per week/30 weeks)	\$60,000
Consultants (2 @ \$150 per 1/2 day/1 day per mo./10 mos.)	\$6,000
Access accommodations (sign-language interpretation and audio description)	\$1,200
Costumes, props	\$6,500
Project supplies	\$4,000
Administration (rent, telephone, copying)	\$5,000

Do not include fund raising, entertainment or hospitality activities, fines and penalties, bad debt costs, deficit reduction, cash reserves or endowments, lobbying, marketing expenses that are not directly related to the project, contingencies, miscellaneous, or costs incurred before the beginning of the official grant period.

4. TOTAL DIRECT COSTS is the total of all direct cost items listed in "1. Salaries and wages," "2. Travel," and "3. Other expenses."

5. INDIRECT COSTS are overhead or administrative costs that are not readily identifiable with a specific project. In order to assign these costs to a particular project, an indirect cost rate may be used provided you have negotiated, or will negotiate before the end of the grant period, such a rate with the Arts Endowment or another federal agency. You do **not** need to include indirect costs to apply to or receive a grant from the Endowment. Administrative costs may be assigned as direct costs under "3. Other expenses" if you do not wish to use indirect costs, or if you do not have or intend to negotiate an indirect cost rate. If you are not applying with an indirect cost rate, leave this section blank. If you are applying with an indirect cost rate, attach a copy of your current negotiated agreement.

For guidance on how to prepare an indirect cost rate proposal, contact the Office of Inspector General, Room 528, National Endowment for the Arts, Nancy Hanks Center, 1100 Pennsylvania Avenue, NW, Washington, DC 20506-0001 (202/682-5402).

6. TOTAL PROJECT COSTS is the total of "4. Total direct costs," and, if applicable, "5. Indirect costs." **NOTE:** "1. Amount requested from the Arts Endowment" plus "2. Total match for this project" must equal the "Total project costs." Your project budget should **not** equal your organization's entire operating budget.

Financial Information

OMB No. 3135-0112
Expires 11/30/2000

Read the instructions on page 37 before you start. If you are a fiscal agent or a parent organization, this information should refer to the group or component on whose behalf you are applying.

Applicant (official IRS name):

OPERATING BUDGET

	Most recently completed fiscal year (/ / - / /) start date end date	Current fiscal year (estimated) (/ / - / /) start date end date	Next fiscal year (projected) (/ / - / /) start date end date
Income:			
Earned	\$ _____	\$ _____	\$ _____
Contributed	\$ _____	\$ _____	\$ _____
Total Income	\$ _____	\$ _____	\$ _____
Expenses:			
Artistic salaries and fees	\$ _____	\$ _____	\$ _____
Production/exhibition/service expenses	\$ _____	\$ _____	\$ _____
Administrative expenses	\$ _____	\$ _____	\$ _____
Total Expenses	\$ _____	\$ _____	\$ _____
Operating surplus/(deficit)	\$ _____	\$ _____	\$ _____

In the space below, explain 1) any changes of 15% or more in either your income or expenses from one year to the next, and 2) plans for reducing a deficit:

Instructions for the Financial Information Form

Provide the requested information for your organization for the most recently completed fiscal year, the current fiscal year (estimated), and the next fiscal year (projected). If you are the lead applicant for a consortium, provide this information for your own organization. If you are a fiscal agent or a parent organization, provide this information for the group or component on whose behalf you are applying (e.g., for a university project, the information should be provided for the component, not the entire university). For components, footnotes (e.g., “museum guards and utilities paid for by university”) may be helpful to explain the relationship that the component has with the larger entity.

This page is intended to show your organization’s fiscal activity as it relates to operations. Do not include activity related to a capital campaign (such as raising money for a new facility, an endowment fund, or a cash reserve fund). The Arts Endowment may request additional information to clarify an organization’s financial position.

In the space provided on the form, explain 1) any changes of 15% or more in either your income or expenses from one year to the next, and 2) plans for reducing a deficit.

Use the following definitions when completing this form. Unaudited figures are acceptable.

EARNED INCOME: Revenues that are received through the sale of goods, services performed, or from investments. Examples: ticket sales, subscription revenue, contractual fees, interest income.

CONTRIBUTED INCOME: Gifts that are received which are available to support operations. Examples: annual fund donations, grants for general operating or project support, in-kind contributions.

ARTISTIC SALARIES AND FEES: Costs that are directly related to the creation, production, and presentation of art work. Examples: fees for dancers, choreographers, actors, curators, artistic directors, contributors to literary publications. Include arts personnel that are on your staff as well as those that are paid on a contract or fee basis.

PRODUCTION/EXHIBITION/SERVICE EXPENSES: All program or service delivery costs, excluding artistic salaries and fees that are listed above. Examples: presentation costs; costs of sets, costumes, and lighting; publication costs of catalogues or literary magazines.

ADMINISTRATIVE EXPENSES: All other costs that are incurred during the normal course of business. Examples: outside professional non-artistic services, space rental, travel, marketing, administrative salaries, utilities, insurance, postage.

TOTAL EXPENSES: In the “Most recently completed fiscal year” column, this figure should agree with the “Total organizational operating expenses for the most recently completed fiscal year” that you provide on the Basic Information Form, Part 2 on page 26.

NOTE: The figures listed in the “Most recently completed fiscal year” column are subject to verification by the Arts Endowment.

Work Sample Index

OMB No. 3135-0112
Expires 11/30/2000

Refer to “How to Apply” on pages 12–14, the “Project Field/Discipline Instructions” on page 14, the “Special Application Requirements” on pages 15–23, and the instructions on page 39. List the work(s) submitted as part of your application package in the order in which you want them reviewed.

Applicant (official IRS name):

WORK SAMPLE A

1. **Format (check one):** ☐ Slides ☐ Books/publications ☐ Audio cassette ☐ CD ☐ DAT
 ☐ VHS ☐ 3/4" video cassette ☐ CD-ROM ☐ Other _____

2. **List selections/describe contents**

(Where appropriate, indicate title of work/artists/production credits, etc. Attach additional sheet(s) if necessary):

3. **Date work(s) completed or performed:**

4. **Relationship of work sample to the project:**

5. **Special Instructions** (Include cue information or real elapsed time, indicating the start of each selection):

WORK SAMPLE B

1. **Format (check one):** ☐ Slides ☐ Books/publications ☐ Audio cassette ☐ CD ☐ DAT
 ☐ VHS ☐ 3/4" video cassette ☐ CD-ROM ☐ Other _____

2. **List selections/describe contents**

(Where appropriate, indicate title of work/artists/production credits, etc. Attach additional sheet(s) if necessary):

3. **Date work(s) completed or performed:**

4. **Relationship of work sample to the project:**

5. **Special Instructions** (Include cue information or real elapsed time, indicating the start of each selection):

If more than two work samples are submitted, you may either copy this blank form, obtain a copy of this form from the Arts Endowment's World Wide Web site at <http://arts.endow.gov>, or reproduce it on your computer (please keep to the original format). Label additional samples C, D, E...

Instructions for the Work Sample Index Form

List and describe the work samples that you are submitting in the order in which you want them reviewed.

HOW TO SUBMIT WORK SAMPLES

Work samples are crucial for evaluating the artistic quality of your project. Please take the time to select samples that communicate effectively the range and quality of your proposal.

Panelists generally spend no more than three to five minutes on the work sample(s) for each application. Organize and cue your submission(s) accordingly. Please be aware that the entire sample (not just the selected segment) is considered a part of the application package and may be reviewed.

Work samples generally will not be returned. The Arts Endowment will attempt to return them when the applicant specifically requests that we do so. The Endowment cannot be responsible for any loss or damage.

ALL WORK SAMPLES

Label each sample clearly with the name of the applicant and the corresponding Work Sample letter from the Work Sample Index. If possible, label both the cassette or disc, and its container. If you are submitting slides, see the instructions below.

SPECIFIC INSTRUCTIONS FOR CERTAIN TYPES OF WORK SAMPLES

AUDIO AND VIDEO CASSETTES: List each cassette as one work sample on the Work Sample Index form. Place the selection(s) in priority order, with those that you would most like reviewed at the beginning of the tape. **Indicate the accumulated elapsed real time of each.** For example, starting at the beginning of a 15-minute tape, Selection 1 would be indicated as 0'00". If five minutes elapse from the beginning of the tape to where the second selection starts, Selection 2 would be indicated as 5'00", etc.

AUDIO CASSETTES: Work may be submitted on an audio cassette or, for projects other than Music and Opera, on DAT (digital audiotape). Use high bias chrome or metal tapes; do not use voice quality tapes unless you are applying for a spoken-word project. Note on the cassette whether or not you have used a noise reduction system and indicate what kind. Record works on one side only. For DATs, program a separate track for each selection on the tape.

VIDEO CASSETTES: Tapes must be 1/2 inch VHS or 3/4 inch cassette, recorded at standard play speed.

COMPACT DISCS: List each CD as one work sample on the Work Sample Index form. Indicate the track number(s) that you want reviewed in priority order.

SLIDES: Slides must be 35 mm and suitable for carousel projection. Do not submit glass slides or use masking tape or other thick tape to label slides. Submit slides as follows:

- Number each slide.
- Place an ink dot on the **front bottom left** of each slide to guarantee that it is projected correctly.
- Place the slides in a 9 inch by 11 inch clear plastic file sheet.
- **List your set of slides as one work sample on the Work Sample Index form.** Attach to the Work Sample Index a numbered list of the individual slides. Be sure that the numbers on your list correspond to the numbers on each slide. Provide the following information, as applicable, about each slide:
 - Artist's name.
 - Title of slide/work.
 - Medium.
 - Date of work/activity.
 - Dimensions of artwork.
 - A brief description of the work, including how this image relates to the project.

ADVANCED TECHNOLOGY (e.g., electronic publications, computer art, Internet projects, etc.): Call the Arts Endowment staff in the relevant field/discipline (see the telephone listing on page 9) for guidance in preparing a submission.

Consortium Member Information

OMB No. 3135-0112
Expires 11/30/2000

To be completed by each member of a consortium, except the lead applicant, and included in the application package.

Lead Applicant for Consortium (official IRS name):

Consortium Member's Official IRS name:

Name (Also Known As):

Address:

City/State/Zip:

World Wide Web Address:

Contact (Last, first):

(Check one) ☐ Mr. ☐ Ms.

Title:

Telephone: ()

ext.

Fax: ()

E-Mail:

Organization's Total Operating Expenses for the most recently completed fiscal year: \$

(Unaudited figures are acceptable)

Mission/purpose of your organization:

Briefly describe your organization's involvement in planning and executing the consortium project, including programming, management, finances, and any responsibilities for matching the Endowment's grant. Be specific; do not provide a general statement of support for the project. **Use this space only.**

We certify that the information contained in this statement is true and correct to the best of our knowledge, and that our organizations are committed to the success of this project.

Consortium Member Authorizing Official (please type)

X /

Signature of Consortium Member Authorizing Official /Date

Lead Applicant's Authorizing Official (please type)

X /

Signature of Lead Applicant's Authorizing Official /Date

Instructions for the Consortium Member Information Form

If your application is for a consortium project, have each member of your consortium complete a copy of this form. There may be no more than 10 members, including the lead applicant, in your consortium.

You may provide a photocopy of this form to each consortium member; consortium members may obtain a copy of this form from the Arts Endowment's World Wide Web site at <http://arts.endow.gov>; or consortium members may reproduce this form on their computers. Make sure that each consortium member's form contains the correct IRS name for the lead applicant.

Each consortium member's authorizing official must sign its form and return it to the lead applicant. Consortium members may FAX or mail their signed forms to the lead applicant.

The authorizing official of the lead applicant, in turn, must sign the completed form from each member.

Organization & Project Profile

OMB No. 3135-0112
Expires 11/30/2000

Applicant (official IRS name):

This form is used by the National Endowment for the Arts to develop statistical profiles of the applications it receives. Your responses will **not** be a factor in the review of your application.

PART I

This section requests information about the applicant. If you are a fiscal agent, a parent organization, or the lead member of a consortium, your responses should relate to your organization, not the group or component on whose behalf you are applying.

A. ORGANIZATIONAL STATUS: Using the following list, select the **one** item which best describes the legal status of the organization:

Nonprofit organization	02 <input type="checkbox"/>	State government	05 <input type="checkbox"/>	County government	07 <input type="checkbox"/>
Municipal government	08 <input type="checkbox"/>	Tribal government	09 <input type="checkbox"/>	None of the above	99 <input type="checkbox"/>

B. ORGANIZATIONAL DESCRIPTION: The following codes work in conjunction with the Organizational Discipline codes below (e.g., select "Performing Group" here and "Theater" below to indicate that your organization is a theater company). Using the following list, select the **one** item which best describes the organization:

Artists' Community	49A <input type="checkbox"/>	Community Service	32 <input type="checkbox"/>	Library	27 <input type="checkbox"/>	Presenter/Cultural	47 <input type="checkbox"/>
Arts Center	15 <input type="checkbox"/>	Organization (a non-arts service organization, e.g., youth center, chamber of commerce, or YMCA)		Literary Magazine	13 <input type="checkbox"/>	Series Organization	
(e.g., a multi-purpose arts facility)				Media—Film	11 <input type="checkbox"/>	School District	19 <input type="checkbox"/>
Arts Council or Agency	16 <input type="checkbox"/>	Fair or Festival	14 <input type="checkbox"/>	(e.g., a cinema or film exhibitor)		School of the Arts	48 <input type="checkbox"/>
(includes regional arts organizations)		Foundation	30 <input type="checkbox"/>	Media—Radio	45 <input type="checkbox"/>	Social Service	50 <input type="checkbox"/>
Arts Institute or Camp	49 <input type="checkbox"/>	Gallery/Exhibition Space	10 <input type="checkbox"/>	(e.g., a NPR station)		Organization (a governmental or private agency, e.g., a public housing authority)	
Arts Service	17 <input type="checkbox"/>	Historical Society/Commission	28 <input type="checkbox"/>	Media—Television	46 <input type="checkbox"/>	State-wide Assembly	17A <input type="checkbox"/>
Organization		Humanities Council or Agency	29 <input type="checkbox"/>	(e.g., a PBS station)		Union or Professional Association (includes artists'/designers' guilds, societies, etc.)	18 <input type="checkbox"/>
College or University	26 <input type="checkbox"/>	Independent Press	12 <input type="checkbox"/>	Museum—Art	08 <input type="checkbox"/>	None of the above	99 <input type="checkbox"/>
				Museum—Other	09 <input type="checkbox"/>		
				Performance Facility	07 <input type="checkbox"/>		
				Performing Group	03 <input type="checkbox"/>		

C. ORGANIZATIONAL DISCIPLINE: Using the following list, select the **one** item which best describes the organization's area of work in the arts (not the project for which it is applying):

Crafts	07 <input type="checkbox"/>	Media Arts	09 <input type="checkbox"/>	Visual Arts	05 <input type="checkbox"/>
Dance	01 <input type="checkbox"/>	(audio/film/video)		Interdisciplinary	11 <input type="checkbox"/>
Design	06 <input type="checkbox"/>	Music	02 <input type="checkbox"/>	(art forms/works integrating more than one discipline)	
Folk & Traditional Arts	12 <input type="checkbox"/>	Musical Theater	03B <input type="checkbox"/>	Multidisciplinary	14 <input type="checkbox"/>
Humanities	13 <input type="checkbox"/>	Opera	03A <input type="checkbox"/>	(more than one discipline)	
Literature	10 <input type="checkbox"/>	Photography	08 <input type="checkbox"/>	None of the above	99 <input type="checkbox"/>
		Theater	04 <input type="checkbox"/>		

Organization & Project Profile (cont'd.)

OMB No. 3135-0112
Expires 11/30/2000

Applicant (official IRS name):

D. **ORGANIZATIONAL RACE/ETHNICITY (OPTIONAL):** Using the designations below, select the **one** item which best describes the pre-dominant racial/ethnic identity of the organization. If at least half of the board, staff, or membership belongs to one of the listed racial/ethnic groups, use that designation. If no one group predominates, select "General".

American Indian or Alaska Native	N <input type="checkbox"/>	Hispanic or Latino	H <input type="checkbox"/>	General	G <input type="checkbox"/>
Asian	A <input type="checkbox"/>	Native Hawaiian or Other Pacific Islander	O <input type="checkbox"/>	(No predominant racial/ethnic identity)	
Black or African American	B <input type="checkbox"/>	White	W <input type="checkbox"/>		

E. **ACCESSIBILITY:** Check below as applicable to indicate if the organization's board or staff includes an older adult (65 years of age or older) or a person with a disability (a physical or mental impairment that substantially limits one or more major life activities); otherwise leave blank.

Older Adults ☐ Individuals with Disabilities ☐

Organization & Project Profile (cont'd.)

OMB No. 3135-0112
Expires 11/30/2000

Applicant (official IRS name):

PART II — This section requests information about the project.

A. PROJECT DISCIPLINE: Using the following list, select the **one** item which best describes the project discipline:

Crafts 07 <input type="checkbox"/>	Media Arts — 09 <input type="checkbox"/>	Musical Theater 03B <input type="checkbox"/>	Visual Arts 05 <input type="checkbox"/>
Dance — 01 <input type="checkbox"/>	Audio 09B <input type="checkbox"/>	Opera 03A <input type="checkbox"/>	Interdisciplinary 11 <input type="checkbox"/>
Ballet 01A <input type="checkbox"/>	Film 09A <input type="checkbox"/>	Photography 08 <input type="checkbox"/>	(art forms/works integrating more than one discipline)
Modern 01C <input type="checkbox"/>	Video 09C <input type="checkbox"/>	Theater 04 <input type="checkbox"/>	Multidisciplinary 14 <input type="checkbox"/>
Design 06 <input type="checkbox"/>	Music — 02 <input type="checkbox"/>		(more than one discipline)
Folk & Traditional Arts 12 <input type="checkbox"/>	Chamber 02B <input type="checkbox"/>		None of the above 99 <input type="checkbox"/>
Literature 10 <input type="checkbox"/>	Choral 02C <input type="checkbox"/>		
	Jazz 02F <input type="checkbox"/>		
	New 02D <input type="checkbox"/>		
	Orchestral 02I <input type="checkbox"/>		

B. ACTIVITY TYPE: Using the following list, select the **one** item which best describes the main activity of the project:

Artwork Creation 04 <input type="checkbox"/> Includes media arts, design projects, and commissions	Publication 17 <input type="checkbox"/> (e.g., books, manuals, newsletters)	Professional Support: 15 <input type="checkbox"/> Artistic (e.g., artists' fees, payments for artistic services)	Arts Instruction 12 <input type="checkbox"/> Includes lessons, classes, and other means to teach knowledge of and/or skills in the arts
Concert/Performance/Reading 05 <input type="checkbox"/> Includes production development	Writing About Art/Criticism 28 <input type="checkbox"/>	Professional Development/Training 29 <input type="checkbox"/> Activities enhancing career advancement	School Residency 20 <input type="checkbox"/> Artist activities in an educational setting
Exhibition 06 <input type="checkbox"/> Includes visual arts, media arts, design, and exhibition development	Repair/Restoration/Conservation 18 <input type="checkbox"/>	Research/Planning 19 <input type="checkbox"/> Includes program evaluation, strategic planning, and establishing partnerships	Other Residency 21 <input type="checkbox"/> Artist activities in a non-school setting
Fair/Festival 08 <input type="checkbox"/>	Seminar/Conference 22 <input type="checkbox"/>	Building Public Awareness 33 <input type="checkbox"/> Activities designed to increase public understanding of the arts or to build public support for the arts	Curriculum Development/Implementation 31 <input type="checkbox"/> Includes the design and distribution of instructional materials, methods, evaluation criteria, etc.
Identification/Documentation (e.g., for archival or educational purposes) 09 <input type="checkbox"/>	Apprenticeship 25 <input type="checkbox"/>	Technical Assistance 34 <input type="checkbox"/> with technical/administrative functions	None of the Above 99 <input type="checkbox"/>
Recording/Filming/Taping (e.g., to extend the audience for a performance through film/tape; do not include archival projects) 16 <input type="checkbox"/>	Audience Services 02 <input type="checkbox"/> (e.g., ticket subsidies)		
	Distribution of Art 24 <input type="checkbox"/> (e.g., films, books, prints; include broadcasting)		
	Marketing 13 <input type="checkbox"/>		
	Professional Support: Administrative (includes consultant fees) 14 <input type="checkbox"/>		

C. PROJECT DESCRIPTORS: Using the following list, select **up to four** items that represent a significant aspect of the project:

Arts for Older Adults 9O <input type="checkbox"/> Projects for artists/audiences 65 years of age or older	Arts for Inner-City Communities 9D <input type="checkbox"/>	Minority Programming 9H <input type="checkbox"/> Projects by non-minority organizations whose content clearly reflects minority groups or their heritage	Presenting 9M <input type="checkbox"/> The presentation of exhibitions, productions, etc., created elsewhere
Arts for Youth 9L <input type="checkbox"/> Projects for young people 18 years of age or younger	Arts for Rural Communities 9C <input type="checkbox"/>	Touring 9B <input type="checkbox"/> The movement of artworks or artists for performances, etc., to benefit audiences in different geographic areas	Computer/Digital Technology 9A <input type="checkbox"/> The use of new technology for the creation or dissemination of artworks, building a Web site, etc.
Arts for "At Risk" Persons (Adults or Youth) 9E <input type="checkbox"/>	International Activity 9I <input type="checkbox"/> Projects involving U.S. artists in other countries, visiting foreign artists, cultural exchanges, etc.		
Arts for Individuals with Disabilities or Individuals Living in Institutions 9P <input type="checkbox"/>	Minority Outreach 9G <input type="checkbox"/> Outreach programs by non-minority organizations aimed at minority populations		

Organization & Project Profile (cont'd.)

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Expires 11/30/2000

Applicant (official IRS name):

D. SCHOOL/AFTER-SCHOOL ACTIVITY: If your project involves pre-K through 12 students, answer the following questions by selecting yes or no; otherwise leave blank.

Will activity take place in a pre-K through 12 school facility? ☐ Yes ☐ No

Will activity take place outside the regular school day? ☐ Yes ☐ No

E. ARTS EDUCATION: Of the following responses, select the **one** that best characterizes the extent to which this project involves arts education (i.e., systematic educational efforts with measurable outcomes designed to increase knowledge of and/or skills in the arts):

		50% or more with activities primarily directed to:			
None	99 <input type="checkbox"/>	K-12 Students	01A <input type="checkbox"/>	Pre-Kindergarten Children	01C <input type="checkbox"/>
Some, but less than 50%	02 <input type="checkbox"/>	Adult Learners	01D <input type="checkbox"/>	Higher Education Students	01B <input type="checkbox"/>
		Includes teachers & artists		Multiple Groups of Learners	01 <input type="checkbox"/>

F. PROJECT ACTIVITY: Provide an estimate for each of the following that is relevant to your project. Leave blank any items that are not applicable or that do not represent a significant aspect of the project.

_____ # of artwork(s) to be created (include media arts, design projects, and commissioning)	_____ # of artists' residencies to occur (artists' activities in schools or other community settings)
_____ # of concerts/performances/readings to be presented (include production development)	_____ # of pre-K through 12 schools expected to participate
_____ # of exhibitions to be curated/presented (include visual arts, media arts, design; and exhibition development)	_____ # of community organizations partnered with to carry out the project
_____ # of books/reports/catalogues, etc., to be published (# of different titles)	_____ # of apprenticeships to be offered
_____ # of artworks to be conserved/restored/documented	_____ # of programs to be broadcast on radio or television (# of different programs) <i>For state/regional/local arts agencies only:</i>
	_____ # of subgrants to be awarded

G. PARTICIPANTS/AUDIENCES BENEFITING: Provide an estimate for each of the following that is relevant to your project. Include only those persons expected to directly participate in or benefit from the project during the grant period. Leave blank any items that are not applicable.

_____ # of artists (include all members of performing groups and living artists whose work is presented, e.g., in an exhibition or concert)	_____ Total # of individuals benefiting (all participants/audiences—except broadcast audiences—including all figures in the left column)
_____ # of teachers/administrators	
_____ # of children/youth (18 years of age or younger)	_____ Total estimated audience for radio or television broadcast

Application Checklist

Please complete the checklist below to make sure that all required material has been included in your application package. This is solely for your own use. This checklist does NOT need to be included in your application package.

- ☐ **Application Acknowledgment Card** or a self-addressed postcard. Page 12.
- ☐ **Internal Revenue Service determination letter for tax-exempt status** or the official document that identifies the applicant as a unit of state or local government, or as a federally recognized tribal community or tribe (two copies). Page 12.
 - ☐ Local arts agencies applying for subgranting projects also must include a copy of the city/county ordinance, resolution, charter, or contract that assigns them the authority to operate on their local government's behalf (two copies)
- ☐ **Application Forms** on pages 24–45 (one set with original signatures and two copies). Page 12.
- ☐ **Biographies** of the key project-related personnel (two copies). Page 13.
 - ☐ If your project involves highly technical professionals, **resumes** (two copies)
 - ☐ For parent organizations that apply on behalf of eligible components, a **list of key staff** of the component unit, describing any overlaps in staffing with the parent organization (two copies)
- ☐ **List of current board members** (two copies). Page 13.
 - ☐ For parent organizations that apply on behalf of eligible components, a **list of board/advisory group members** for the component and for the parent organization (two copies)
- ☐ **Sample programs, brochures, calendars, catalogues, or other promotional material** for the previous and current seasons (two copies). Page 13.
 - ☐ For parent organizations that apply on behalf of eligible components, **brochures or other printed material** that document the identity of the component as distinct from the parent organization (two copies)
- ☐ A **representative list** of your organization's programming or recent activities for the following years: 1997–98, 1998–99, 1999–2000 (two copies). Page 13.
- ☐ Where relevant, **evidence of commitment/letters of support** by all collaborating organizational partners or artists (two copies). Page 14.

For a consortium project:

 - ☐ **Consortium Member Information Form** on page 40 for each member of the consortium (two copies)
- ☐ If your project is based on copyrighted material, a **signed statement that documents the clearance of rights** (two copies). Page 14.
- ☐ If you are submitting work samples, the **Work Sample Index** on page 38 (two copies; three copies for Music and Opera projects). Page 14.
- ☐ The **Special Application Requirements** on pages 15–23. Follow the instructions for the field/discipline that is most relevant to your project.

SEND YOUR APPLICATION PACKAGE TO:

Information Management Division, Room 815
[Goal/Field or Discipline under which you are applying, e.g., Access/Museums
(see "Project Field/Discipline Instructions" on page 14)]
National Endowment for the Arts
Nancy Hanks Center
1100 Pennsylvania Avenue, NW
Washington, DC 20506-0001 (Overnight Mail Zip Code: 20004)

Legal Requirements

By law, the National Endowment for the Arts may support only those organizations that:

- **Are tax-exempt.** Organizations qualifying for this status must meet the following criteria:

- (1) No part of net earnings may benefit a private stockholder or individual.

- (2) Donations to the organization must be allowable as a charitable contribution under Section 170(c) of the Internal Revenue Code of 1954, as amended. For further information, write the Internal Revenue Service's EP/EO Division, Customer Service, P.O. Box 2508, Cincinnati, OH 45201 or call the IRS office listed in your area.

- **Compensate all professional performers and related or supporting professional personnel on Arts Endowment-supported projects at no less than the prevailing minimum compensation.** [This requirement is in accordance with regulations that have been issued by the Secretary of Labor in part 505 of Title 29 of the Code of Federal Regulations. A copy of part 505 is sent to all grantees as part of the grant award package (or you can link to it through our Web site at <http://arts.endow.gov>); part 505 does not provide information on specific compensation levels.]

- **Assure that no part of any Arts Endowment-supported project will be performed or engaged in under working conditions which are unsanitary or hazardous or dangerous** to the health and safety of the employees involved.

- **Comply with the federal requirements that are outlined in the "Assurance of Compliance" section below.**

ASSURANCE OF COMPLIANCE

By signing the application form, the Applicant certifies that it is in compliance with the statutes outlined below and all related Arts Endowment regulations and will maintain records and submit the reports that are necessary to determine compliance. The Applicant further certifies that it will obtain assurances of compliance from all subrecipients and will require all subrecipients of Endowment funds to comply with these nondiscrimination requirements. The Arts Endowment may conduct a review of your organization to ensure that it is in compliance. If the Endowment determines that a grantee has failed to comply with these statutes, it may suspend, terminate, and/or recover funds. This assurance is subject to judicial enforcement.

1. Nondiscrimination Statutes

The Applicant certifies that it does not discriminate:

- On the grounds of race, color, or national origin, in accordance with **Title VI of the Civil Rights Act of 1964**, as amended (42 U.S.C. 2000d et seq.).
- On the grounds of disability, in accordance with **Section 504 of the Rehabilitation Act of 1973** (29 U.S.C. 794) and the **Americans with Disabilities Act of 1990** ("ADA") (42 U.S.C. 12101-12213). The ADA's requirements apply regardless of whether you receive federal funds.
- On the basis of age, in accordance with the **Age Discrimination Act of 1975** (42 U.S.C. 6101 et seq.).
- On the basis of sex, in any education program or activity, in accordance with **Title IX of the Education Amendments of 1972** (20 U.S.C. 1681 et seq.).

For further information and copies of the nondiscrimination regulations identified above, contact the Endowment's Office of Civil Rights at 202/682-5454 or 202/682-5695 Voice/T.T., or link to them through our Web site at <http://arts.endow.gov>.

2. Regulations relating to Debarment and Suspension

(45 C.F.R. pt. 1154) in which the Applicant certifies that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in covered transactions by any federal department or agency, nor

Has, within the three years preceding the submission of this application, been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with a public (federal, state, or local) transaction or a contract under a public transaction; for violation of federal or state antitrust statutes; for commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property; had any public transactions terminated for cause or default; or is presently indicted for or otherwise criminally or civilly charged by a governmental entity with any of the preceding offenses.

3. The Drug-Free Workplace Act of 1988 (41 U.S.C. 701 et seq. and 45 C.F.R. pt. 1154) requires grantee organizations, within 30 days of receiving a grant, to make a continuing, good faith effort to maintain a drug-free workplace through implementation of the following:

- Publish a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee’s workplace, and specifying the actions that will be taken against employees for violation of the prohibition. (For the purposes of this Act, alcohol is not considered a controlled substance.) The grantee shall give a copy of the statement to each employee who will be involved in grant-supported activities and notify those employees that they are expected to abide by the statement. For the purposes of this law, “employees” include consultants and temporary personnel (but not volunteers), who are directly engaged in work under the grant and who are on the grantee’s payroll. The grantee should maintain on file the address of each site where work is performed under the grant.

- Establish a drug-free awareness program that will inform employees about the dangers of drug abuse in the workplace, the grantee’s policy of maintaining a drug-free workplace, any available drug counseling, rehabilitation, and employee assistance programs, and the penalties that might be imposed for workplace drug abuse violations. Employees should be informed that any conviction for a violation of a criminal drug statute that occurs in the workplace must be reported to the employer, in writing, no later than five calendar days after such a conviction. The grantee, in turn, must notify the Arts Endowment’s Grants & Contracts Officer, in writing, within ten calendar days of receiving such notice from its employee. The grantee’s notice to the Arts Endowment must include the convicted individual’s position title and the number(s) of each affected grant.

- Within 30 calendar days of receiving notice of an employee’s criminal drug conviction a grantee should take appropriate personnel action against the convicted employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or require the employee to participate satisfactorily in a drug abuse assistance or rehabilitation program that has been approved for such purposes by a federal, state, or local health, law enforcement, or other appropriate agency.

4. The Native American Graves Protection and Repatriation Act of 1990 (25 U.S.C. 3001 et seq.) which applies to any organization which controls or possesses Native American human remains and associated funerary objects, and which receives federal funding, even for a purpose unrelated to the Act.

5. Federal Debt Status (OMB Circular A-129). The applicant certifies that it is not delinquent in the repayment of any federal debt. Examples of relevant debt include delinquent payroll or other taxes, audit disallowances, and benefit overpayments.

If your project, including the planning stage, has environmental implications, you may be requested to provide information to the Arts Endowment in response to specific questions in accordance with the National Environmental Policy Act.

If your project includes the planning or major renovation of any structure that is eligible for or on the National Register of Historic Places you may be asked to provide additional information on your project to ensure compliance with the National Historic Preservation Act. This law also applies to planning for new construction that would affect historic properties.

REPORTING BURDEN

The public reporting burden for this collection of information is estimated to average 32 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. The Arts Endowment welcomes any suggestions that you might have on improving the guidelines and making them as easy to use as possible. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to: Office of Guidelines & Panel Operations, Room 516, National Endowment for the Arts, Nancy Hanks Center, 1100 Pennsylvania Avenue, NW, Washington, DC 20506-0001. Note: Applicants are not required to respond to the collection of information unless it displays a currently valid U.S. Office of Management and Budget (OMB) control number.